

REQUEST FOR PROPOSALS

FOR

Region 11 Regional Operator and/or Fiscal Agent PROGRAM YEARS 2006 - 2008

Region 11 Workforce Board

**c/o Tom Horstman, Regional Coordinator
700 East Walnut Street
Evansville, Indiana 47713**

Date Issued	<u>February 1, 2006</u>
Due Date	Notice of Intent to Bid: <u>February 15, 2006</u> . Bidders must notify the Region 11 board by close of business 2/15/06 if they intend to bid so that any changes to the RFP that may result from additional state guidance can be passed on to the bidders. Submit the Notice of Intent via e-mail to thorstman@dwd.in.gov and put "Notice of Intent to Bid" in the subject line. <u>Proposals must be RECEIVED (not just postmarked) by 4:30 p.m. CST March 3, 2006</u>
Contract Period	<u>July 1, 2006 – June 30, 2008</u> (with one-year renewal option at board's discretion). Minimal contract activities may begin as early as <u>April 1, 2006</u> for transition work.
Funds Available	The total WIA allocation for Region 11 for Program Year 2006 is <i>estimated</i> at \$1.5m to \$2m, inclusive of funds that will be separately contracted for direct service delivery.
Eligible Bidders:	Any public or private non-profit or for-profit entity that will NOT be bidding on direct delivery of services or training to customers in Region 11 is eligible.
Limitations:	This RFP does not commit the Region 11 board to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract for services or supplies.
Questions:	Questions should be addressed only to Tom Horstman, Regional Coordinator, 700 East Walnut, Evansville, Indiana 47713 or by e-mail at thorstman@dwd.in.gov . All questions must be in writing and received by February 15, 2006. The Regional Coordinator will send the Q&A to all who submitted a Notice of Intent to Bid.

Evaluation: Proposals will be evaluated according to the criteria outlined in this solicitation and only in accordance with the written material submitted by the bidder.

Signature: All pages requiring a signature must be signed by a person authorized to commit the bidder to a future contract.

Table of Contents

I.	Background Information.....	4
	Purpose	4
	Region 11 Background Information	4
	Regional Operator Responsibilities	5
	Fiscal Agent Responsibilities	7
	Contract Period.....	7
	Funding Available.....	7
	Type of Contract	8
	Eligible Bidders.....	8
	Subcontracts	8
	Inquiries	8
	Proposal Review and Contract Award	8
	Appeals	9
II.	Technical Requirements for Submission	10
III.	Response Items – Proposal Content	12
IV.	Budget and Cost Information.....	18
	Budget Estimate.....	18
	Budget Narrative	21
V.	Assurances and Certifications.....	22
VI.	Review Criteria.....	28

I. Background Information

Purpose

Indiana is implementing a number of strategies to address the state's major economic development goals:

- ◆ Jobs and Employment Growth
- ◆ Personal Income Growth.

The Indiana Strategic Two-Year Plan includes reforms in organizational structure for workforce system oversight and brokering and delivery of services. A full copy of the plan may be found at

http://www.workforceatm.org/sections/pdf/2005/stateplan_120805.pdf.

Indiana was previously divided into 16 workforce investment areas, each with its own Workforce Investment Board (WIB). Effective July 1, 2006, the state will be divided into two workforce service areas: Marion County and the balance of state. The balance of state is further divided into eleven workforce service areas, each led by a Regional Workforce Board (RWB) whose responsibilities are similar to that of the WIBs. Their role includes:

- ◆ Providing direction for strategic regional workforce development.
- ◆ Building regional coalitions of key stakeholders, including local economic developers, educators, industry leaders, and others.
- ◆ Competitively procuring a Regional Operator.
- ◆ At local option, competitively procuring a fiscal agent.
- ◆ Monitoring competitive procurement of service providers.
- ◆ Advising the Regional Operator on functions that are normally part of WIB responsibilities under the Workforce Investment Act of 1998.
- ◆ Monitoring Regional Operator performance.

The purpose of this request for proposals is to procure a Regional Operator and a Fiscal Agent for Region 11. Bidders may submit a proposal for *either* Regional Operator or Fiscal Agent or *both*. Selection will be based on cost of service, ability to meet the needs of the region, demonstrated knowledge and expertise, and track record of results.

Region 11 Background Information

Region 11 is comprised of nine counties in southwestern Indiana, including Dubois, Gibson, Knox, Perry, Pike, Posey, Spencer, Vanderburgh, and Warrick. Bidders may learn more about the area by reviewing:

- ◆ http://www.in.gov/dwd/employers/workone_r11.html: A complete list of WorkOne and WorkOne Express site addresses may be found at this link. In

Indiana, full service one-stop centers are known by the name WorkOne, while smaller, more limited service offices are called WorkOne Express sites.

- ◆ <http://www.stats.indiana.edu/ssi>: This link leads you to a state map of the eleven regions and labor market information about the region.
- ◆ http://www.in.gov/dwd/employers/SSI/shortages_reports11.pdf: Region 11's strategic skills initiative report may be found at this site.
- ◆ http://www.stats.indiana.edu/profiles/custom_profile_frame.html?SEGR_11: A regional data profile is provided here.
- ◆ <http://www.swidc.org/>: Information about Economic Development Resources in Southern Indiana from the Southwest Indiana Development Council (counties not entirely consistent with Region 11, but a good source of economic information).

Bidders should become knowledgeable of the area and its economic needs and priorities and reflect that knowledge in their response. It is preferred that bidders already have a reputation and contacts in the area to open doors to forge alliances, or have the capacity to do so.

Regional Operator Responsibilities

Regional Operator responsibilities include:

- ◆ **Serve as the “management company” for regional service delivery coordination** in the WorkOne system, inclusive of both full service and Express sites. The Governor's vision for this system is described in the state strategic plan referenced above.
- ◆ **Ensure adherence of the system to state policies.** Policies of the Indiana Department of Workforce Development may be found at http://www.in.gov/dwd/partners/policy_search_index.html
- ◆ **Provide staff support functions to the Regional Workforce Board.** The RWB is a business-led, volunteer board that establishes policy and drives the area's strategy for workforce development. Staff must provide *proactive support* to this board, not merely follow. Staff providing support must be approved by the RWB, and cannot be changed by the Regional Operator without the RWB's prior approval. Board support staff must be able to assist the board to think strategically regarding the development of a comprehensive workforce system and alignment of the workforce system with economic development; assist the board to develop into a dynamic, cooperative, and positive team with high expectations; develop a process that will actively engage the board members so they will see the value added and rewarding benefits of participating; assist the board in developing and using an industry cluster approach to workforce and economic development policy and practice; and identify a strategic planning process that will produce short and long-term goals with visible action plans.

- ◆ **Conduct research, analysis and strategic planning** (or contract for same) to develop a community audit with annual updates and publication of a State of the Workforce report. To share the information with the public and gain insights for strategic planning, the Regional Operator will be expected to organize an annual Community Workforce Summit to inform the broadest segment of the regional community of the issues, challenges, and accomplishments of workforce development, economic development, and education. Strategies resulting from the research and summit and subsequent board planning are to be included in the region's five-year strategic plan of workforce investment, developed by the Regional Operator.
- ◆ **Create a budget and cost allocation plan** for the board's approval, including budgeting for the work of the board.
- ◆ **Implement solutions to skill shortages** identified through the state's strategic skills initiative. Full information about the initiative may be found at <http://www.in.gov/dwd/employers/ssi.html>.
- ◆ **Seek additional funding sources and partnering opportunities.** Staff will be expected to go beyond basic one-stop system oversight and continually look for ways to strategically grow jobs, employment and personal income in Region 11. Staff must be able to form coalitions and partnerships to achieve these results.
- ◆ **Assist in marketing the WorkOne system.** The state will market the overall system, but the RWBs will need to supplement and promote the efforts.
- ◆ **Provide technical assistance to service providers**, including the non-procured partners in the one-stop system.
- ◆ **Direct and coordinate the flow and delivery of services in the WorkOne system.** While the Regional Operator directs the flow and functionally supervises the staff, no staff of the Regional Operator entity may provide WIA Title 1 core, intensive, or training services or other direct job seeker workforce services in the region where the entity is the Regional Operator.
- ◆ **Provide participant reporting and data validation functions.**
- ◆ **Develop RFPs for service providers and oversee the evaluation and selection process** with the approval of the RWB.
- ◆ **Coordinate with the fiscal agent concerning fiscal and financial reporting formats and processes.**
- ◆ **Perform duties identified for the one-stop operator** in federal and state legislation, regulations, policies and procedures.
- ◆ **Update and maintain the eligible training provider data.** The state's eligible training provider policy may be found at <http://www.in.gov/dwd/partners/wia/1998-65-wiawtw.pdf>
- ◆ **Perform other duties as determined by the RWB.**

Fiscal Agent Responsibilities

Fiscal Agent responsibilities include:

- ◆ Administration of contracts between the state, Regional Workforce Board, and Regional Operator.
- ◆ Administration of grant funds for the region: WIA Title 1 Adults, Dislocated Worker, Youth; state and federal competitive and formula funds; Strategic Skills Initiative funds; and other funds as directed by the CEO and/or RWB.
- ◆ Handling receipts and disbursements for the region.
- ◆ Establishing acceptable cost accounting plans for the entities served.
- ◆ Providing the state and RWB with financial reports for the region.
- ◆ Ensuring compliance with all applicable federal and state fiscal legislation and regulations, applicable Office of Management and Budget (OMB) Circulars, and state/regional policies and directives, including directives regarding monthly bank reconciliations and maintaining minimum cash on hand.
- ◆ Establishing a procedure to record and report all stand-in costs, and when applicable, all match cost of cash/in-kind as directed, and any required maintenance of effort.
- ◆ Utilizing acceptable accounting software that allows for accrual reporting of all costs within the timelines established and the allocation of overhead/indirect costs.
- ◆ Ensuring fiscal integrity.

The Fiscal Agent, its employees, or its subcontractors may not provide WIA Title 1 core, intensive, or training services or other direct job seeker workforce services in the region where the entity is the Fiscal Agent.

Contract Period

The period of funding will be July 1, 2006 through June 30, 2008. If performance is acceptable, the board may elect to renew the contract for one year for exceptional performance. The Regional Operator and Fiscal Agent functions must be competitively bid no less than once every three years. There is no restriction on the same entity competing and being awarded subsequent contracts. Contracts for Regional Operator and Fiscal Agent may begin as early as April 1 for minimal services associated with transition.

Funding Available

Substate WIA allocations for program year 2006 have not yet been issued by the state. In PY 2003, the counties that comprise Region 11 were collectively allocated \$1,353,078, or 3.9% of the state allocation. In PY 2004, the amount was \$1,391,590 (3.86%), and in PY 2005, \$1,920,873 (4.77%).

Type of Contract

Separate contracts will be entered into with the fiscal agent and regional operator even if the same entity is awarded both roles. This will allow the RWB to terminate one contract for cause but leave the other intact in the event of inadequate performance in one function or the other. Contracting will be on a cost reimbursement basis with possibility of incentives for exemplary performance.

Eligible Bidders

Any public or private non-profit or for-profit entity may bid on either the Regional Operator or Fiscal Agent role. The Regional Operator and Fiscal Agent may NOT provide direct WIA Title I core, intensive, or training services in Region 11. Therefore, entities that intend to bid on service delivery should consider whether they want to bid on the Regional Operator or Fiscal Agent role, since winning one contract or the other would exclude them from eligibility as a service provider. There is no restriction against the entity that serves as Regional Operator and or Fiscal Agent in Region 11 acting as a service provider in any other region of the state or nation.

Subcontracts

Bidders may subcontract for any part of the services to be provided. Partnerships with diverse talents, for example, may bid together to act as Regional Operator, but one lead entity must be the contractor that will subcontract with any partners. Any subcontracting not specifically specified in the proposal or in the contract must have RWB approval. In the bidders' background and qualifications, clearly specify what background and qualifications describe the bidder, and which are pertinent to the subcontractor.

Inquiries

All prospective bidders are prohibited from contacting any RWB 11 board member regarding this solicitation to avoid conflicts of interest. Contact with anyone other than the Regional Coordinator identified on the first page of this solicitation regarding the solicitation or procurement process will result in disqualification.

Proposal Review and Contract Award

Proposals will be initially reviewed for technical responsiveness by the Regional Coordinator. Responsive proposals will be forwarded to the proposal review team for rating and ranking. This team will prepare a proposal rating summary for review by the full RWB. The top three bidders will be asked to make oral presentations in person in mid-March. Final award of a contract will be contingent upon:

- ◆ Successful negotiation of the contract;
- ◆ Acceptance by the bidder of contract terms and conditions;

- ◆ Proven ability to forge coalitions and partnerships (for the Regional Operator contract); and
- ◆ Satisfactory verification of past performance and financial systems.

Appeals

Unsuccessful bidders will be notified in writing within 30 days of the final decision. Bidders who are not awarded contracts may appeal the contract award process by clearly stating in writing the reason for the appeal and directing it to Tom Horstman, Regional Coordinator, 700 East Walnut, Evansville, Indiana 47713. The Regional Coordinator will review the protest and determine appropriate action. The protester will be notified in writing within 10 days of the decision as to the validity of the protest and any next steps. If the protester is not satisfied with the response, the Regional Coordinator will forward the appeal to the Indiana Department of Workforce Development central administrative office.

II. Technical Requirements for Submission

1. Bidders must submit one original copy (signatures in blue ink) and 5 copies. The original must be stamped or marked as such. No faxed or e-mail copies will be accepted. The bidder is responsible for ensuring the proposals reach the Regional Coordinator's office by 4:30 pm CST on March 1, 2006. Fed-ex and hand delivery are acceptable in addition to regular U.S. Mail. The bidder is responsible for ensuring the original and 5 copies are RECEIVED by the due date, not merely postmarked.
2. Proposals must be typed in no smaller than 12 pt font, with no smaller than 1 inch margins.
3. Pages must be numbered sequentially in the lower right hand corner, with the Proposal Summary page as Page 1 of ____.
4. All copies must be single sided and are recommended to be printed on recycled paper. Minimize or eliminate the use of non-recyclable or non-re-useable materials such as plastic report covers, plastic dividers, and vinyl sleeves. Materials should be submitted in a format that allows for easy removal and recycling of paper materials.
5. Proposals must be organized in the following order:
 - a) Proposal summary page
 - b) Table of contents
 - c) Response items (body of proposal, consistent with Section III of this solicitation).
 - d) Budget Estimate and Budget Narrative
 - e) Assurances and Certifications
6. All travel and other contract related expenses associated with visiting and interviewing must be borne by the bidder.
7. In submitting its proposal, the bidder agrees not to discuss or otherwise reveal the contents of the proposal to any source outside of the using or issuing agency, government or private until after award of the contract. Bidders not in compliance with this provision may be disqualified from contract award.
8. All responses, inquiries, or correspondence relating to or in reference to the RFP and all other reports, charts, displays, schedules, exhibits, and other documentation submitted by the bidder shall become the property of the Region 11 board when received.

Proposal Summary

Bidder's Name _____

Bidding On: _____ Regional Operator

_____ Fiscal Agent

(Check one or both of the above as applicable)

Address: _____

Contact Person: _____

E-mail Address: _____

Phone Number: _____

Fax Number: _____

Federal Employer
Identification Number
(FEIN): _____

Signature: _____

Brief (no more than 1 page) summary of bidder's background and capacity for providing the Regional Operator and/or Fiscal Agent Services.

III. Response Items – Proposal Content

While there is no page limit, all responses should be as concise, clear, and to the point as possible. Excessive text may obscure the proposal and impact evaluation.

A. Bidders Background

Describe the bidder's background, including:

1. Mission statement.
2. Incorporation status and where incorporated.
3. Website address or statement that the organization has no website.
4. Number of years in business and brief history of the bidder.
5. Examples of types of contracts the bidder has previously entered into, including type of contracting entity, location of the work, and general types of services provided.
6. If the entity has a board, identification of board members (this may be expressed as a link to a website that identifies board members).
7. Provide a copy of the two most recent audit reports for the bidding entity.
8. Describe any work you are doing or may be proposing to do in addition to this contract. Estimate what percentage of your overall organization's work would be represented by this contract.
9. Regional Operator bidders: If the entity has previously delivered WIA services, or oversaw delivery of WIA service contracts, provide performance data for the most recent two program years available and most recent program monitoring report.
10. Fiscal Agent bidders: if the entity has previously acted as fiscal agent for WIA funds, provide a copy of the two most recent fiscal monitoring reports.

B. Bidder's Qualifications

Regional Operator Bidders:

1. Describe the bidder's familiarity with the economy and workforce needs of southwestern Indiana. This should not be a recitation of data contained in the websites previously listed in the RFP. Rather, this should be a relatively short description (no more than 2-3 pages) that demonstrates that the bidder has read and reflected upon the workforce and economic needs of this area.

2. Describe the bidder's experience in working with communities and community development. In addition to activities, describe the results that were achieved in this work.
3. Describe any other major workforce development achievements of the bidding entity outside of WIA federal performance standards. Include achievements both *within* WIA (other than standards) as well as non-WIA achievements in workforce development.

Bidders for both Regional Operator and Fiscal Agent

4. Identify the staff that will be assigned to this contract.
 - a. Provide an organizational chart that shows how each fits into the overall organization. If a current position(s) is vacant, describe the qualifications that will be sought to fill the position and timetable for hiring. Note: The lead position for either Regional Operator or Fiscal Agent may not be shown as vacant since these positions are too important to the selection of the contractor.
 - b. Indicate what the roles/titles will be of the assigned staff in this contract. For Regional Operator bidders, clearly identify which staff will be performing staff support to the board and which staff will be acting as one-stop operator. Indicate the percentage of overall time each staff person will be devoting to each function.
 - c. Provide bios or resumes of the assigned staff. Bios or resumes should include the following as appropriate to each person's planned duties under this contract. Items that must be addressed by Fiscal Agent bidders are shown in **bold type**:
 - Experience with staffing a board;
 - description of experience as a facilitator and positive motivator;
 - experience in strategic planning;
 - experience gaining consensus among a group;
 - expert knowledge of WIA;
 - knowledge of economic development principles and practices;
 - knowledge of industry clusters;
 - experience in policy development;
 - experience in oversight and monitoring, particularly monitoring of WIA and other federal programs;
 - experience in labor market research;
 - experience in generating revenue;
 - experience in marketing;

- experience in providing technical assistance to providers;
- experience in developing and overseeing procurement processes;
- experience in supervision and staff development;
- **experience with automated reporting systems;**
- **experience in contract development and management.**
- **experience in budgeting, accounting and fiscal oversight.**
- **experience in working with accounting and reporting systems, and specifically with the Indiana Department of Workforce Development, and other state/federal agencies and/or private sector entities.**
- **experience in providing financial services for federal and state workforce programs.**

C. **Plan of Work**

Regional Operator

1. **Regional Workforce Board Support:** Describe your approach to providing staff support to the RWB. You may indicate that your approach for some items would be to subcontract for the service rather than accomplish it directly with staff. Include:
 - Your understanding of the difference between the work of the board and the work of the one-stop system;
 - plans for interacting with the board and the elected officials including member recruitment, orientation, capacity development, and “care and feeding” of board members;
 - how you will develop a website for the RWB and proposed content;
 - how agendas will be established and how meetings will be conducted; include how you will ensure active engagement and participation by the members; describe how you would see a typical meeting transpiring;
 - your approach to budgeting; what information you use to determine how to budget resources;
 - how you will work with the fiscal agent to create a budget and cost allocation plan and monitor and report on expenditures to the board;
 - your approach to policy development, including how you will ensure the RWB fulfills the duties assigned to WIBs in the Workforce Investment Act;

- your approach to community audit and development of a State of the Workforce Report;
 - your approach to strategic planning, demonstrating inclusiveness of community participation, understanding of policy impacts, and the need to measure community results;
 - your approach to compliance planning; i.e, the 5 year- plan required under the Workforce Investment Act;
 - your approach to revenue generation to expand the resources of the board to accomplish the board's work;
 - how you will go about creating coalitions and partnerships that enhance the effectiveness of the board;
 - outline any innovative ideas you have for how a regional workforce board can proactively increase jobs, employment, and personal income in a region.
2. **Transition Management:** Describe how you will manage the transition from the previous configuration of workforce services areas into the new configuration. Issues to address include:
- The approach and timetable for turnover of clients, records, and files to the newly procured service providers;
 - The approach and timetable for reviewing and issuing local policy and operational guidance to providers and partners. The policies of the two previous boards were not identical;
 - How you will ensure continuation of training and other services for individuals who entered services that extend beyond July 1, 2006;
 - How you will manage the transition of equipment inventory.
 - How you will transition leadership of the Strategic Skills Initiative Solutions phase and Regional Consortium to the Region 11 board.

NOTE: the state has not yet provided guidance on transition. At minimum, your response to this item must reflect that you understand the work that is entailed in making these kinds of transitions.

3. **Information Management:** Describe your approach to:
- Developing and implementing processes to collect, manage, and utilize information about the system;
 - identifying points in performance that would be "triggers" to take action to avoid performance failure;
 - ensuring timely data entry on program participants;
 - validating program eligibility;

- using information to make decisions that will improve efficiency and effectiveness;
4. **Marketing and Public Relations:** Describe how you will develop an overall marketing plan. Include:
 - Your ideas for marketing the WorkOne system;
 - how you will evaluate the effectiveness of marketing strategies;
 - how you will assist the board in developing a public image for the board itself and improve its public relations;
 5. **Service provider procurement and performance management:** Provide:
 - Tasks and a timetable for procurement of service providers [Note: you may procure one provider for core and intensive services for the whole region; different providers for different geographic areas; and/or different providers for different services];
 - how you will provide orientation for new providers and for old providers that need to understand new policies and practices;
 - how service provision will be monitored for quality control;
 - how you will handle service provider performance issues;
 - how you will increase the number of qualified service providers in the region.
 6. **Service integration and coordination:** Describe how you will integrate services and workflow in the WorkOne system that will result in seamless service delivery. Include:
 - Your understanding and vision for “seamless” service delivery, integration, and coordination and how it will be accomplished in a collaborative atmosphere;
 - how you will develop a plan for designing the flow of traffic;
 - how you will manage staff communications and staff satisfaction;
 - how functional supervision for all staff, including state agency staff who are not under service delivery contracts, will be managed;
 - how staff performance appraisal and development plans will be created and managed;
 - how you will determine the need for extended days/hours of operation;
 - how employer and job seeker customer input will be solicited and used;
 - your ideas for better utilizing technology in the delivery of services;

- your approach to continuous improvement; and
- how you will benchmark the practices of the WorkOne system against the industry leaders.

Fiscal Agent

Describe the fiscal services to be provided that will ensure compliance with all federal and state statutes, regulations, and policies and generally accepted accounting principles. Include in your description:

- How you will develop a financial reporting and cash management system.
- internal controls to maintain fiscal integrity.
- proposed cost allocation and implementation plan.
- methods for assisting the CEO/RWB to aggressively pursue repaying from the originating entity/organization for any disallowed costs that may be identified.
- controls that will be used to ensure data entered into an automated fiscal system it is both accurate and timely.
- how you will handle payments for delivery of workforce development services in the region, including how you will ensure proper documentation accompanies each claim for payment (e.g., what is sent to the fiscal agent and what is to remain on file with the Regional Operator).
- method to be used to resolve concerns over payment for costs questioned by the Fiscal Agent.
- how financial reports for the Regional Operator, RWB, and state will be developed and formatted to clearly communicate the information each entity needs to know.
- how the fiscal agent will coordinate and communicate with the Regional Operator.

D. References

Provide 3 references. Include: Name of organization, name of contact person, address, phone number, e-mail address, how this contact is familiar with your work, and the nature of the work performed. If applying for both Regional Operator and Fiscal Agent, the three references may refer to both fiscal and operator work performed, or you may need to provide 3 references for operator-related work, and 3 for fiscal agent work.

IV. Budget and Cost Information

Budget Estimate

In the absence of an allocation from the state, **assume a total WIA Title I allocation of \$1.75m, with the possibility of \$10,000 being reserved for performance incentives.**

WIA limits administrative costs to 10%

Explanation of administrative costs:

The list in Section 667.220 of the final WIA regulations reads, in part, as follows:

(1)“The costs of administration are costs associated with performing the following functions:

(i) Accounting, budgeting, financial and cash management functions;

(ii) Procurement and purchasing functions;

(iii) Property management functions;

(iv) Personnel management functions;

(v) Payroll functions;

(vi) Coordinating the resolution of findings from audits, reviews, investigations and incident reports;

(vii) Audit functions;

(viii) General legal services functions; and

(ix) developing systems and procedures, including information systems, required for these *administrative functions* (emphasis added);

(2) Performing oversight and monitoring responsibilities *related to WIA administrative functions* (emphasis added);

(3) Costs of goods and services *required for administrative functions* (emphasis added) of the program.....

(4) Travel cost incurred for official business in carrying out *administrative activities or the overall management of the WIA system* (emphasis added); and

(5) Costs of information systems *related to administrative functions* (emphasis added).....

The regulations exempt several system development and operation costs from the administrative cost category. These include tracking and monitoring participant and performance information; employment statistics; performance and program cost information on eligible providers; local area performance; information relating to supportive services and UI claims for participants. Further, continuous improvement activities are charged to administration or program category based on the purpose or nature of the activity to be improved. The regulations recognize that boards perform

both administrative and program functions. The administrative functions are limited to those specified in the final regulations. As noted above, these functions are very clearly limited to those activities that are solely administrative in nature. All other allowable costs performed by a board are appropriately charged to the program category. Program plan preparation, negotiating MOUs, and conducting public relations, as examples, are all legitimate program charges – not administrative charges.

Option 1:

Indicate the percentage of total WIA Title I funds (using \$1.75m as the estimate) for the Regional Operator Function, and a separate percentage of the total for the Fiscal Agent function. Describe any sliding scale that shows reduced percentages as funds are increased by the receipt of additional grants.

Match is encouraged but not required. Extra points will be awarded to bidders who bring resources to the table.

	Regional Operator		Fiscal Agent
	Program %	Admin %	Admin %
Percentage of WIA Title I Funds (based on estimate of \$1.75m)			
Sliding Scale (if any) for additional funds			
Value of in-kind match (if any)			
Value of cash-match (if any)			

- Describe source of any match, and if in-kind, the nature of the match.
- For Regional Operator bidders: provide your estimate for what part of the percentage applies to board support (inclusive of contracts for board services) and what part applies to one-stop operator functions.

Option 2:

Complete the chart on the next page using the allocation estimate and guidance above regarding administrative costs in your response. Review the budget narrative instructions prior to figuring your estimate.

Match is encouraged but not required. Extra points will be awarded to bidders who bring resources to the table.

Budget Estimate

Line Item	Regional Operator				Fiscal Agent	Match	Total Budget
	Board Staffing		One-Stop Operator Staffing				
	Program	Admin	Program	Admin	Admin		
Salaries							
Fringe Benefits							
Rent and utilities							
Furniture and equipment							
Office Supplies and postage							
Technology							
Staff Development and Travel							
Dues, Memberships, publications							
Contracts for board services							
Total							

Budget Narrative

1. Describe how you will determine Regional Operator and/or Fiscal Agent costs for any additional workforce development grants that may be received in the region.
2. Provide the hourly rate of pay or annual salary for each person assigned to this contract and the estimated percentage of each individual's time that he or she will perform work for the contract. Also indicate the number of hours or days of vacation that each staff person is permitted.
3. Indicate the benefit percentage and what benefits are included for staff.
4. Explain how you estimated rent and utility costs. Rent agreements in place for current WIB entities do not have to be assumed by the Regional Operator or Fiscal Agent.
5. Furniture and equipment of the current WIB entities will become the inventory for Region 11 (part for Region 8) and available for use by the Regional Operator and/or fiscal agent. At this time, no direction has been provided by the state for how existing inventory will be re-allocated. Assume most of the current inventory will be transitioned to the new region, and describe what additional or replacement costs you have included in your estimate.
6. Describe how you estimated supply and postage costs.
7. Explain your technology estimate, including software licenses, telephone, teleconferencing for RWB members, technical support, software updates, and internet access fees.
8. Explain how you arrived at the travel estimate, including purpose for travel (national conferences, seminars, statewide meetings, local meetings, staff development).
9. Explain how you arrived at your estimate and what memberships and subscriptions are anticipated.
10. If there are services that the Regional Operator intends to procure for the board rather than provide through its own staff (e.g., development of State of the Workforce Reports, retreat facilitation, special studies, etc.), please describe.
11. This item is intended to be the remaining funds for contracting to service providers. Explain how you arrived at your estimate.

V. Assurances and Certifications

Complete and sign the assurances and certifications on the following pages and include them with your submission.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

The proposer certifies that to the best of its knowledge and belief that it and its principal:

- Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
- Are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in the paragraph above; and
- Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall submit an explanation to the board.

Printed name/title of Certifying
Representative_____

Authorized Signature_____

Date_____

Conflict of Interest Certification

I hereby certify that no official or employee of the Region 11 Regional Workforce Board or any member of their immediate families has a material interest in this firm.

Printed name/title of Certifying
Representative_____

Authorized Signature_____

Date_____

Drug-Free Workplace Certification

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85. Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Contracting entity determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

A. The contractor certifies that it will provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing a drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantees policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) abide by the terms of the statement; and

(2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(e) Notifying the contracting entity within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction;

(f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted --

(1) Taking appropriate personnel action against such an employee, up to and including termination; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or Local health, Law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f)

Printed name/title of Certifying

Representative_____

Authorized Signature_____

Date_____

Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the Undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant or Federal loan, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant or loan.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant or loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the Award documents for all subawards at all tiers (including contracts, subcontracts, and subgrants under grants and loans) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Printed name/title of Certifying
Representative_____

Authorized Signature_____

Date_____

Assurance of Non-discrimination and Equal Opportunity

The proposer assures and certifies that it will conduct its business in accordance with provisions of the following laws, as they may apply:

- ◆ Titles VI and VII of the Civil Rights Act of 1964, as amended; which prohibits discrimination on the basis of race, color, religion, sex, or national origin;
- ◆ Section 504 of the Rehabilitation Act of 1973, as amended;
- ◆ Title IX of the Education Amendments of 1972, as amended; which prohibits discrimination on the basis of sex;
- ◆ The Age Discrimination Act of 1975, as amended; which prohibits discrimination on the basis of age;
- ◆ Americans with Disabilities Act of 1990, as amended; which prohibits discrimination on the basis of handicap or disability;
- ◆ The Drug Abuse Office and Treatment Act of 1972, as amended, relating to nondiscrimination on the basis of drug abuse;
- ◆ The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended; relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
- ◆ Sections 523 and 527 of the Public Health Service Act of 1912, as amended, relating to confidentiality of alcohol and drug abuse patient records;
- ◆ Title VIII of the Civil Rights Act of 1968, as amended, relating to nondiscrimination in the sale, rental or financing of homes;
- ◆ Non-traditional Employment for Women Act of 1991, as amended, relating to the employment of and nondiscrimination against women in occupations where women represent 25% or less of the total employment

and will follow all applicable rules and regulations promulgated thereunder. During the performance of any contract executed as the result of this request, proposer will not deny any benefits under a contract to any person and is prohibited from discriminating against any employee or applicant for employment because of race, color, religion, sex, national origin, age, physical or mental disability, temporary medical condition, political affiliation or belief. Proposer shall ensure compliance with Executive Order 11246, September 24, 1965 and the equal opportunity clause required in 41 CFR §60-14(a).

Printed name/title of Certifying
Representative_____

Authorized Signature_____

Date_____

VI. Review Criteria

Technical Review

Yes	No	Technical Criteria
		Bidders submitted one original copy (signatures in blue ink) and 5 copies. The original was stamped or marked as such.
		The submission was typed in no smaller than 12 pt font, with no smaller than 1 inch margins.
		All copies were single sided and numbered sequentially in the lower right hand corner.
		The proposed minimized or eliminated the use of non-recyclable or non-re-useable materials such as plastic report covers, plastic dividers, and vinyl sleeves. Materials were submitted in a format that allows for easy removal and recycling of paper materials.
		The submission was in the proper order: Proposal summary page; Table of contents; Response items (body of proposal, consistent with Section III of this solicitation); Budget Estimate and Budget Narrative; Assurances and Certifications.
		The Proposal is considered responsive and can be passed to the Review Team for scoring.

If the proposal was not responsive, the Program Director will identify the reasons and include the information in the final recommendation of the Review Team to the Regional Workforce Board.

	Points Awarded		Rationale for Points Awarded	
	Regional Operator	Fiscal Agent	Regional Operator	Fiscal Agent
Bidder's Background Score is based on whether bidder adequately addressed all the response items and appears to be a solid organization. If bidding on Regional Operator and has previously delivered, or oversaw delivery of, WIA services, bidder reported excellent outcomes.	Possible: 5 pts	Possible: 5 pts		
Bidder's Qualifications Score is based on completeness of response to the items in the instructions, quality of response, strength of experience, and demonstrated achievements/ results.	Possible: 20 pts	Possible: 20 pts		
Plan of Work Score is based on adequacy of response to all items in the instructions; strength of approach; innovative ideas; and understanding of the	Possible: 50 pts	Possible: 50 pts		

work and timetables necessary to achieve compliance, performance, and integrity.				
Budget Score is based on reasonableness of budget consistent with the scope of work proposed, and the thoroughness and logic of the budget narrative.	Possible: 20 pts	Possible: 20 pts		
Match Up to 5 extra points may be awarded for non-WIA resources that bidder brings to the table, which may include in-kind services charged to another funding source.	Possible: 5 pts	Possible: 5 pts		
Total				